

03-18-02

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PENNIE &amp; EDMONDS LLP DOCKET NO. 6925-310

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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Prior application: Examiner Meinecke-Diaz, Susanna M.Art Unit 2163

Assistant Commissioner for Patents  
 Box PATENT APPLICATION  
 Washington, D.C. 20231

31046 U.S. PTO  
 10/09/04  
 03/15/02

Sir:

This is a request for filing a ☒ continuation ☐ divisional application under 37 CFR § 1.53(b), of pending prior application no. 08/963,605 filed on October 31, 1997.

of Young et al.  
 (inventor(s) currently of record in prior application)

for COMPUTER METHOD AND APPARATUS FOR OPTIMIZING PORTFOLIOS OF MULTIPLE PARTICIPANTS  
 (title of invention)

1. ☒ The filing fee is calculated below:

## PATENT APPLICATION FEE VALUE

TYPE	NO. FILED	LESS	EXTRA	EXTRA RATE	FEE
Total Claims	69	-20	49	\$18.00 each	\$ 882.00
Independent	3	-3	0	\$84.00 each	\$ 0.00
Basic Fee					\$ 740.00
Multiple Dependency Fee If Applicable (\$280.00)					\$ 0.00
Total					\$ 1,622.00
50% Reduction for Independent Inventor, Nonprofit Organization or Small Business Concern					- \$ 0.00
Total Filing Fee					\$ 1,622.00

2. ☒ Please charge the required fee to Pennie & Edmonds LLP Deposit Account No. 16-1150. A copy of this sheet is enclosed.
3. ☐ Amend the specification by inserting before the first line the following sentence: This is a continuation, division, of application no. , filed .
- 4a. ☒ New formal drawings are enclosed.

- 4b. ☐ Informal drawings are enclosed.
- 5a. ☐ Priority of application no. filed on in is claimed under 35 U.S.C. §119.
- 5b. ☐ The certified copy has been filed in prior application no. , filed .
6. ☒ The prior application is assigned of record to Morgan Stanley, Dean Witter, Discover & Co. at reel No. 9154, frame No. 0520. A change of name to Morgan Stanley Dean Witter & Co. was also filed in the prior application, a copy is attached hereto.
- 7a. ☒ A copy of the Power of Attorney filed in the prior application no. 08/963,605, filed October 31, 1997 is enclosed.
- 7b. ☐ A Power of Attorney is enclosed.
8. ☐ This application contains nucleic acid and/or amino acid sequences required to be disclosed in a Sequence Listing under 37 CFR §§1.821-1.825. It is requested that the Sequence Listing in computer readable form from prior application no., filed on be made a part of the present application as provided for by 37 C.F.R. §1.821(e). The sequences disclosed therein are the same as the sequences disclosed in this application. A copy of the paper Sequence Listing from application no. is enclosed.
9. ☐ The undersigned states, under 37 C.F.R. §1.821(f), that the content of the enclosed paper Sequence Listing from application no. is the same as the content of the computer readable form submitted in application no. .
10. ☐ DO NOT PUBLISH. I hereby certify that the invention disclosed in the attached application has not and will not be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).
11. ☒ Additional enclosures or instructions: Information Disclosure Statement.

Respectfully submitted,

Date

3/15/02

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